

# U.S. Fish and Wildlife Service

## Checklist for a New Financial Assistance Award

To complete this form, follow the instructions in the "Issuing a New Financial Assistance Award Guidance" posted on the Intranet at <https://inside.fws.gov/go/post/FAPO-NewAwards>.  
Once completed, this form must be maintained in the official award file.

**CFDA Number:** \_\_\_\_\_ **Program Title:** \_\_\_\_\_

The Service has the authority to issue financial assistance awards under this CFDA program. For a complete list of this CFDA program's authorizing legislation, see the Authorization section of the program's CFDA.gov profile.

**Recipient Name:** \_\_\_\_\_ **DUNS Number:** \_\_\_\_\_

**Type of Recipient** (select from drop down): \_\_\_\_\_

**Grants.gov Funding Opportunity Number:** \_\_\_\_\_

**Project Title:** \_\_\_\_\_

**Project Period Start:** \_\_\_\_\_ **Project Period End:** \_\_\_\_\_  
(In project period start date field, enter "Signature date" or specific start date) (enter date)

New Cooperative/Grant Agreement Requires ITEMS: 1 - 22 and 26-27.

Modifications of Cooperative/Grant Agreements Require ITEMS: 1-2, 13-14,16, and 23-26.

Items		YES	NO
1.	The program office has reviewed 505 DM 2, Section 2.9 and all related Service guidance and has determined that the project/activity to be funded IS financial assistance, and NOT an interagency agreement or an acquisition action. The primary purpose of this award is to support or stimulate activities that are not for the direct benefit of or use by the Service. The benefit to the Service will be incidental (i.e., funded activities compliment the Service mission).		
2.	Select the Financial Assistance Award Instrument to be used (mark YES for ONE of the following):		
	A. GRANT: The program office has determined that no substantial involvement by Service staff in project activities is expected. Service staff will perform the routine administrative and monitoring activities expected for all financial assistance awards, which do not qualify as substantial involvement in the project.		
	B. COOPERATIVE AGREEMENT: The program office has determined that, in addition to performing the routine administrative and monitoring activities expected for all financial assistance awards, Service staff will be substantially involved in the project activities. The Grants.gov funding opportunity and the notice of award document contain <i>detailed and project-specific</i> descriptions of the <i>substantial</i> activities to be carried out by Service staff under the award.		
3.	Is this a discretionary single source award, as defined in 505 DM 2, Section 2.14? A YES response also means that, in accordance with Service policy 516 FW 6, a signed copy of form FWS 3-2452, <i>Determination for Issuing a Single Source Financial Assistance Award</i> will be maintained in the official award file.		
4.	A. Was a complete Funding Opportunity for this program/single source award posted on Grants.gov? A YES response also means that the required dated print screens of the publicly-posted Synopsis, Full Announcement, and Application screens will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
	B. If 4A is marked NO, mark YES for ONE of the following possible justifications:		
	(1) The funding opportunity is for a mandatory program.		
	(2) The funding opportunity is for discretionary award(s) less than \$25,000 each for which 100 percent of eligible applicants live outside of the United States.		
	(3) The funding opportunity is for a discretionary single source award for less than \$25,000 in total Federal funds.		
	(4) The funding opportunity is for an award made under the Indian Self-Determination and Education Assistance Act (P.L. 93-638, 88 Stat. 2204).		
	(5) Because of a compelling and unusual urgency, or substantial danger to health or safety, there is not enough time to follow adequate competitive procedures.		
5.	This award is made based on an approved application submitted by the applicant that matches the award to be made in regards to funding amount and project scope and includes a complete and signed SF 424, Application for Federal Assistance form. The approved application will be maintained in the official award file.		
6.	A. The recipient is an individual and is not authorized to charge indirect costs to the award.		
	B. For all other recipients, indicate which of the below indirect cost rate statements was provided by the organization in their application:		
	(1) The recipient does not have an indirect cost rate and will charge all costs directly.		
	(2) The recipient provided a copy of their current NICRA. This document will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
	(3) The recipient had a NICRA in the past, but it has expired. They will submit an indirect cost rate proposal to their cognizant agency after the award is made.		
	(4) The recipient has never had a NICRA. They will submit an indirect cost rate proposal to their cognizant agency after the award is made.		
	(5) The recipient has never had a NICRA. They agree as a condition of award to charge a flat indirect cost rate of 10% of modified total direct costs for the life of the award, including any future extensions of time and regardless of any NICRA they may establish during the award period.		

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	Items	YES	NO
7.	Is the reimbursement of pre-award costs approved as part of this award? A YES response also means the applicant has demonstrated in writing that pre-award costs were necessary and reasonable for accomplishing the overall project objectives, that the costs would have been approved had they occurred within the award period of performance, and that the recipient's written request for pre-award costs will be maintained in the official award file.		
8.	NEPA Review. Mark YES for ONE of the following:		
A.	All of the proposed project activities will occur outside of the United States. NEPA review is not required.		
B.	The proposed project was reviewed for potential significant effects on the human environment. The proposed project is completely covered by a Categorical Exclusion under 516 DM 2, Appendix 1 or 516 DM 8.5 AND no Extraordinary		
C.	As required under NEPA, the proposed project was reviewed for potential significant impact on the human environment. The proposed project: Does not meet the criteria for any Categorical Exclusion under 516 DM 2, Appendix 1 or 516 DM 8.5; Is not completely covered by a Categorical Exclusion under 516 DM 2, Appendix 1 or 516 DM 8.5; OR An Extraordinary Circumstance under 516 DM 2, Appendix 2 applies to the project. A YES response also means that all required documentation will be completed before any potentially impactful activities associated with the project are started and will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
9.	Section 7 ESA Review. Mark YES for ONE of the following:		
A.	All of the proposed project activities will occur outside of the United States and the high seas; no listed, proposed or candidate endangered or threatened species or designated or proposed critical habitat exists in the project area; or the project has no potential to affect species or their designated critical habitats. Section 7 ESA review is not required.		
B.	Project activities will be conducted in the U.S. or on the high seas and the program has determined that the project meets the criteria of a NO EFFECT finding, as described in Section 6.G of the Service's Issuing a New Financial Assistance Award Guidance. A YES response also means that all related documentation will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
C.	Project activities will be conducted in the U.S. or on the high seas and the program has determined that the project may affect endangered or threatened species or critical habitat. The program has followed the appropriate procedures for either a determination/finding of NLAA or a finding of LAA for formal consultation. A YES response also means that a final finding will be made (e.g., concurrence received or consultation process completed) before any potentially impactful activities associated with the project are started and that all resulting documentation will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
10.	Section 106 NHPA Review. Mark YES for ONE of the following:		
A.	All of the proposed project activities will occur outside of the United States. Section 106 NHPA review is not required.		
B.	Project activities will be conducted in the United States. All NHPA consultation requirements have been met. All resulting documentation will be maintained in the (check one): ____ official award file or ____ centralized subject-matter file.		
C.	Tribal Consultation via External Affairs		
11.	Did the program/servicing office determine that the award is of such complexity/novelty or exhibits intellectual property issues or potential conflicts of interest, or other such concerns that it warranted legal review? A YES response also means that a copy of the request and any response will be maintained in the official award file.		
12.	A-133 Single Audit (\$500,000 or greater) Requirements. Must mark YES for ONE of the following:		
A.	Is the applicant something other than a state, local or federally-recognized Indian tribal government or non-profit organization? If YES, the applicant is exempt from A-133.		
B.	Is the applicant is a state, local or federally-recognized Indian tribal government or non-profit organization that reported in their application that they were NOT required to submit an A-133 Single Audit Report for their most recently closed fiscal year? If YES, no further documentation is required.		
C.	Applicant is a state, local or federally-recognized Indian tribal government or non-profit organization that reported in their application that they WERE required to submit an A-133 Single Audit Report for their most recently closed fiscal year? A YES response also means the required dated screen print of the "Results from Query of Single Audit Database" screen will be maintained in the: (check one): ____ official award file or ____ centralized subject-matter file.		
13.	SAM.gov Registration. Mark YES for ONE of the following:		
A.	The applicant is an individual/natural person and is waived by OMB regulation from the SAM registration requirement.		
B.	The applicant was waived by the AD-WSFR from the SAM registration requirement. A YES response also means a signed copy of form FWS 3-2451, <i>Financial Assistance Recipient Data Universal Numbering System (DUNS)/System for Award</i>		
C.	The applicant is subject to the SAM registration requirement. A YES response also means a dated print screen of the SAM Entity Overview record showing the entity's DUNS number and Active SAM.gov registration status will be maintained in the official award file.		
14.	The program office has searched the SAM Exclusions (EPLS) and either found no active Exclusions for the individual/entity or the active Exclusion(s) found do(es) not prohibit the award from being funded. A YES response also means a dated print screen(s) of either the SAM Exclusions query results showing no Active Exclusions found OR the Active Exclusion Summary screen showing that the exclusion does not prohibit the award from being funded will be maintained in the official award file.		
15.	All applicable steps of the "Establishing a Recipient's Payment Method before Obligating Funds for a New Grant or Cooperative Agreement Award in FBMS" (ASAP) guidance (posted on the Intranet at <a href="https://inside.fws.gov/index.cfm/go/post/Payments-New">https://inside.fws.gov/index.cfm/go/post/Payments-New</a> ) were completed.		
16.	Program Purchase Request (PPR)		

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Items	YES	NO
17. Project Officer's Questionnaire		
18. Project Officer's Designation of Authority Memo		
19. SF 424 Accompanying Budget and Assurance Forms based on project type.		
A. SF-424A - Budget Form (Non-Construction)		
B. SF-424B - Assurances Form (Non-Construction)		
C. SF-424C - Budget Form (Construction)		
D. SF-424D - Assurances Form		
E. Grants.gov Budget Narrative Form (no form number)		
20. Draft Notice of Award Letter		
21. If this project entails construction, attach Davis-Bacon		
22. Business Evaluation Form (Cost Analysis)		
23. Draft Modification Letter		
24. Modification, updated SF 424 a or SF 424c and budget narrative forms (2CFR215.25)		
25. Modification, updated Business Evaluation Form (Cost Analysis)		
26. Lobbying if Agreement is greater than \$100,000. (Check one)		
A. NOFA Section IV.H. incorporates 43 CFR 18, Appendix A		
B. The Certificate of Lobbying, 43 CFR 18, Appendix A; is attached to the award file.		
27. Partners for Fish and Wildlife and Coastal Programs Project Selection Checklist (if applicable)		
Station Congressional District _____		
Project Congressional District _____		
Project Location (County, City, State) _____		
Amount Funded _____ WBS _____ Partial Fund _____		

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Program Representative Sign and Date

\_\_\_\_\_

Printed Name of person signing

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Agreements Officer Sign and Date

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Printed Name of person signing